

# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

## Title of Invention

An Efficient Locking Protocol for Sub-Document Concurrency  
Control Using Prefix Encoded Node Identifiers in XML Databases

Application Number :

Confirmation Number:

First Named Applicant: James Teng

Attorney Docket Number: SVL920040010US1

Art Unit:

Examiner:

Search string: ( 5485607 or 5983225 or 6411964 or 6606626 or 20030210709 or 20030177443 or 20030131167 or 20030105756 or 20020165870 or 20010032281 ).pn

## US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
D6	1	5485607	1996-01-16	Lomet et al.		395	600
	2	5983225	1999-11-09	Anfindsen		707	8
	3	6411964	2002-06-25	Iyer et al.	B1	707	200
√	4	6606626	2003-08-12	Ponnekanti	B1	707	8

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
D6	1	20030210709	2003-11-13	Inoue	A1	370	469
	2	20030177443	2003-09-18	Schnelle et al.	A1	715	513
	3	20030131167	2003-07-10	Rankin et al.	A1	710	104
	4	20030105756	2003-06-05	Daynes	A1	707	8
	5	20020165870	2002-11-07	Chakraborty et al.	A1	707	206
√	6	20010032281	2001-10-18	Daynes	A1	710	200

Signature



12/15/06

Examiner Name

Date

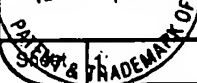
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Substitute for form 1449/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

APR 22 2005

(Use as many sheets as necessary)



of 1

**Complete if Known**

Application Number	10/709,416
Filing Date	5/04/2004
First Named Inventor	James Teng
Art Unit	2171
Examiner Name	Unknown
Attorney Docket Number	SVL920040040US1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
DG		GARCIA-MOLINA et al., "Database System Implementation," Chapter 9, Prentice Hall, 2000, Upper Saddle River, New Jersey, USA.	
↓		BARGHOUTI et al., "Concurrency Control in Advanced Database Applications," ACM Computing Surveys, V23, N3, Sept. 1991, pgs. 269-317.	

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Considered

12/15/06

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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